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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	<b>Application Number</b>	09/886,912	
	<b>Filing Date</b>	June 21, 2001	
	<b>First Named Inventor</b>	Munoz, Rodrigo	
	<b>Group Art Unit</b>	2161	
	<b>Examiner Name</b>		
<b>Total Number of Pages in This Submission</b>	9	<b>Attorney Docket Number</b>	G03.013

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input checked="" type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): A check for \$1200.00 for Notice of Missing Parts and Assignment Recordation.
<b>Remarks</b>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
<b>Firm or Individual name</b>	Kurt M. Maschoff
<b>Signature</b>	
<b>Date</b>	September 26, 2001

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231 on this date: September 26, 2001			
<b>Type or printed name</b>	Jill Holme		
<b>Signature</b>		<b>Date</b>	September 26, 2001

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s): Munoz

Application No.: 09/886,912

Filed: 6/21/2001

Title: METHOD AND APPARATUS FOR  
MATCHING RISK TO RETURN

Attorney Docket No.: G03.013

Group Art Unit: 2161

**RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION**

Assistant Commissioner for Patents  
Washington, D.C. 20231  
Attention: Box Missing Parts

Sir:

This is in response to a Notice to File Missing Parts of Application under 37 CFR 1.53(f). Enclosed is a copy of said Notice and the following documents and fees to complete the filing requirements of the above-identified application.

(X) Executed Declaration and Power of Attorney. The above-identified application is the same application which the inventor executed by signing the enclosed declaration.

(X) Statutory basic filing fee (X) Utility \$710.00 ( ) Design

(X) Additional claim fees of \$320.00

(X) Missing Parts Surcharge = \$130.00

( ) A Petition for Extension of Time for reply to Notice of Missing Parts is attached.

( ) one month = \$110.00

( ) two months = \$390.00

( ) three months = \$890.00

( ) four months = \$1,390.00

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Date of Deposit: September 26, 2001

Typed Name: Jill Holme

Signature: Jill Holme

Respectfully submitted,

By Kurt M. Maschoff

Kurt M. Maschoff

Reg. No. 38,235

(203) 972-0081 / Phone

Date: September 26, 2001



## UNITED STATES PATENT AND TRADEMARK OFFICE

 COMMISSIONER FOR PATENTS  
 UNITED STATES PATENT AND TRADEMARK OFFICE  
 WASHINGTON, D.C. 20231  
 www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/886,912	06/21/2001	Rodrigo Munoz	G03.013

CONFIRMATION NO. 6647

## FORMALITIES LETTER



\*OC000000006424880\*

 Buckley, Maschoff, Talwalkar, & Allison LLC  
 111 Elm Street  
 New Canaan, CT 06840

Date Mailed: 08/14/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The statutory basic filing fee is missing.  
Applicant must submit \$ 710 to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).
- Total additional claim fee(s) for this application is \$320.
  - \$320 for 4 independent claims over 3.
- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 1160.

*A copy of this notice **MUST** be returned with the reply.*

Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 1 - ATTORNEY/APPLICANT COPY

 10/01/2001 RHARIS1 00000001 09886912  
 01 FC:101 710.00 OP  
 02 FC:102 320.00 OP  
 03 FC:105 130.00 OP